

PLANNED AUDIT 2019/2020

APPENDIX 1

System Name	Status	Audit Allocation	Total Days Used	Exception Issues	Audit Opinion	No. of Recs	High	No. Agreed	Medium	No. Agreed	Low	No. Agreed	Total Not Agreed
As at 31 December 2019													
JOINT													
Budgetary Control (16)	Completed	5	3.0		Satisfactory	3	0	0	2	2	1	1	0
SODC		5	3.0		Satisfactory	3	0	0	2	2	1	1	0
VWHDC													
Capital Management and Accounting (22)	In Progress	7	7.0		Not yet applicable								
SODC		7	6.5		Not yet applicable								
VWHDC													
Cornerstone (21)	Completed	10	13.0		Satisfactory	5	0	0	2	2	3	3	0
SODC		0	0.0		Satisfactory	5	0	0	2	2	3	3	0
VWHDC													
Council Tax (24)	Draft Out	10	20.5		Not yet applicable								
SODC		10	20.5		Not yet applicable								
VWHDC													
Creditor Payments (26)	Draft Out	10	9.5		Not yet applicable								
SODC		10	9.5		Not yet applicable								
VWHDC													
Data Protection / GDPR (20)	In Progress	7	3.0		Not yet applicable								
SODC		7	3.0		Not yet applicable								
VWHDC													
Development Management (20)	Completed	10	6.0		Satisfactory	8	0	0	4	4	4	4	0
SODC		10	6.0		Satisfactory	8	0	0	4	4	4	4	0
VWHDC													
Disabled Facility Grants (16)	Completed	8	13.0		Full	1	0	0	0	0	1	1	0
SODC		8	13.0		Full	1	0	0	0	0	1	1	0
VWHDC													
Elections and Election Payments (22)	Completed	15	17.0		Limited	5	1	1	2	2	2	2	0
SODC		15	17.0		Limited	5	1	1	2	2	2	2	0
VWHDC													
General Ledger (23)	Draft Out	10	10.0		Not yet applicable								
SODC		10	10.0		Not yet applicable								
VWHDC													
Health and Safety (21)	Audit Delayed	10	0.0	Audit delayed pending the outcome of the strategic review of health and safety by an external consultant.									
SODC		10	0.0										
VWHDC													
Housing Benefits and CTRS (21)	To Commence Q4	15	0.0		Not yet applicable								
SODC		15	0.0		Not yet applicable								
VWHDC													
Information Security (Inc. Cyber Security) (21)	In Progress	10	7.0		Not yet applicable								
SODC		10	7.5		Not yet applicable								
VWHDC													
Leisure Development (8)	To Commence Q4	10	0.0		Not yet applicable								
SODC		10	0.0		Not yet applicable								
VWHDC													
Lone Working / Officer Security (24)	To Commence Q4	7	2.0		Not yet applicable								
SODC		7	2.0		Not yet applicable								
VWHDC													
Mobile Home Parks (25)	Completed	12	12.0		Satisfactory	10	0	0	4	4	6	6	0
SODC		12	12.0		Satisfactory	10	0	0	4	4	6	6	0
VWHDC													
Moorings (9)	To Commence Q4	0	0.5		Not yet applicable								
SODC		10	0.0		Not yet applicable								
VWHDC													
National Non-Domestic Rates (NNDR) (22)	To Commence Q4	10	1.0		Not yet applicable								
SODC		10	0.5		Not yet applicable								
VWHDC													
Payroll (28)	In Progress	18	8.5		Not yet applicable								
SODC		18	8.5		Not yet applicable								
VWHDC													
Performance Management (17)	Audit Delayed	8	0.0	Audit delayed until the SODC and VWHDC corporate plans 2020-2024 is implemented.									
SODC		8	0.0										
VWHDC													
Pro-active Anti-Fraud Review (21)	In Progress	7	6.0		Not yet applicable								
SODC		7	6.0		Not yet applicable								
VWHDC													
Procurement (27)	In Progress	10	4.5		Not yet applicable								
SODC		10	4.5		Not yet applicable								
VWHDC													
Sundry Debtors (23)	In Progress	10	9.0		Not yet applicable								
SODC		10	9.0		Not yet applicable								
VWHDC													
Treasury Management (21)	In Progress	7	5.0		Not yet applicable								
SODC		7	5.0		Not yet applicable								
VWHDC													
SODC													
None													
VWHDC													
None													
IA PLANNED AUDIT TOTALS		452	301.0		Full 2 Substantial 0 Satisfactory 8 Limited 2 Nil 0	64	2	2	28	28	34	34	0
SODC PLANNED AUDIT TOTALS		226	150.5		Full 1 Substantial 0 Satisfactory 4 Limited 1 Nil 0	32	1	1	14	14	17	17	0
VWHDC PLANNED AUDIT TOTALS		226	150.5		Full 1 Substantial 0 Satisfactory 4 Limited 1 Nil 0	32	1	1	14	14	17	17	0

FOLLOW UP AUDITS 2018/2019

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing	No Longer applicable	New recommendation
None									
SODC									
None									
VWHDC									
None									

FOLLOW UP AUDITS 2019/2020

System Name	Total Days Used	Original Audit Opinion Issued	Total No. of Recs Agreed	Implemented	Partly Implemented	Not Implemented	Ongoing	No Longer applicable	New recommendation
JOINT									
None									
SODC									
None									
VWHDC									
None									
IA FOLLOW UP DURING 19/20 TOTALS	0.0		0	0	0	0	0	0	0
JOINT FOLLOW UP TOTALS	0.0		0	0	0	0	0	0	0
SODC FOLLOW UP TOTALS	0.0		0	0	0	0	0	0	0
VWHDC FOLLOW UP TOTALS	0.0		0	0	0	0	0	0	0

UNPLANNED WORK 2019/2020

CONSULTANCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	N/A	N/A	N/A	N/A
SODC				
None	N/A	N/A	N/A	N/A
VWHDC				
None	N/A	N/A	N/A	N/A

CONTINGENCY

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	N/A	N/A	N/A	N/A
SODC				
Planning applications investigation	In Progress	As required	0.5 to date	Development Manager
VWHDC				
None	N/A	N/A	N/A	N/A

SYSTEM DEVELOPMENT

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
None	N/A	N/A	N/A	N/A
SODC				
None	N/A	N/A	N/A	N/A
VWHDC				
None	N/A	N/A	N/A	N/A

AD-HOC ADVICE

System Name	Status	Audit Allocation	Total Days Used	Requested By
JOINT				
General audit advice to service teams (incl chasing for information)	N/A	N/A	7	N/A
SODC				
General audit advice to service teams (incl chasing for information)	N/A	N/A	0	N/A
VWHDC				
General audit advice to service teams (incl chasing for information)	N/A	N/A	0	N/A